DEPARTMENT OF THE NAVY
COMMANDER MILITARY SEALIFT COMMAND
914 CHARLES MORRIS CT SE
WASHINGTON NAVY YARD DC 20398-5540

REFER TO:

COMSCNOTE 5200
N00I
8 January 2001

COMSC NOTICE 5200

Subj: MILITARY SEALIFT COMMAND MANAGEMENT CONTROL PROGRAM

Ref: (a) SECNAVINST 5200.35D

Encl: (1) OPNAV 5200/7 (3-98) with Instructions
       (2) Annual Management Control Plan
       (3) Weakness Report Format
       (4) Annual Assurance Certification Format

1. <u>Purpose</u>. To provide interim guidance for implementing the Military Sealift Command (MSC) Management Control Program (MCP) until a revised OPNAV instruction is received.

2. <u>Cancellation</u>. COMSCNOTE 5200 of 22 November 1999.

3. <u>Applicability</u>. This notice applies to all MSC Assessable Unit Managers, Program Managers (PMs), Functional Directors (FDs), Special Assistants (SAs), Headquarters Field Offices (i.e., NFAF East and West, N7 East and West, N2 East and West, N4 East and West, N6 East and West, and N8 East and West), Afloat Personnel Management Center (APMC), Area Commanders (ACs) and MSC Offices (MSCOs).

4. <u>Management Control Objectives</u>. Management controls are the rules, procedures, techniques and devices employed by managers to ensure that what <u>should</u> occur in their daily operations <u>does</u> occur on a continuing basis. All managers have an inherent responsibility to establish and maintain effective management controls, assess areas of risk as defined in reference (a), identify and correct weaknesses in those controls and keep their superiors informed. An effective MCP provides reasonable assurance that:

   a. Controls are implemented and function as intended.

   b. Management responsibilities and authority are clearly stated and understood.

   c. Military and civilian personnel responsible for systems controls are identified, and the performance appraisals for these individuals reflect the quality of their performance of management control responsibilities.

   d. Assets are safeguarded against waste, loss, unauthorized use and misappropriation.

   e. Obligations and costs comply with law.

   f. Transactions are executed in accordance with law, regulation and policy.

   g. Accounts, records and reports are accurate.

5. Background

   a. Reference (a) provides SECNAV policy/guidance for the MCP and significantly changed the program, eliminating the requirement for a 5-year plan, Risk Factor Worksheets, and Vulnerability Assessment (VA) Supplements. Reference (a) also requires all assessable units be reviewed on an annual basis. OPNAV issued interim guidance with a one page OPNAV 5200/7 Management Control Evaluation Form, enclosure (1), that replaced the Risk Factors Worksheets and VA Supplements.

   b. The proper stewardship of Federal resources is a fundamental responsibility of agency managers and staff. Federal employees must ensure that government resources are used efficiently and effectively to achieve intended results. The major thrust of current policy is twofold:

      (1) All government agencies are bound by law to maintain an adequate system of management controls; and

      (2) The managers of these agencies are tasked to implement, execute and maintain this program.

   c. The MCP encompasses operational and administrative areas as well as accounting and financial management.

6. Action. OPNAV has not revised the MCP Instruction; therefore, MSC will implement the OPNAV MCP requirements in FY01 as follows:

a. The Annual Management Control Plan at enclosure (2) was revised based on information in the FY00 Annual Certifications. Assessable Unit Managers shall review enclosure (2) and ensure it accurately reflects their assessable units. If changes are required, submit them to N00IC with a short explanation describing why the change(s) should be made.

b. Enclosure (1), the Management Control Evaluation Form (OPNAV 5200/7) which was completed for each assessable unit in FY00, will be reviewed. If the status of the assessable unit is the same, the Assessable Unit Manager will initial in column three of enclosure (2). New assessable units or revisions to enclosure (2) require that a new Management Control Evaluation Form be completed.

c. As a minimum in FY01, assessable units "X'd" in column four of enclosure (2) will have an Alternative Management Control Review (AMCR) (e.g., DoD IG audit, GAO audit, Naval Audit Service audit, Command Evaluation Review or some inspections) or a Management Control Review (MCR) completed. You may conduct a MCR or AMCR of other assessable units you identify as having weak, nonexistent or excessive controls. Assessable Unit Managers are encouraged to use a documented evaluation that is already in place (an AMCR). Use an MCR only if an alternative evaluation does not exist. The documentation for the AMCRs or the MCRs will be kept at the Assessable Unit Manager level. All documentation must be kept until a new review is accomplished and must be readily available if requested by external auditors or MSC Management Control Program POCs. Fill in the date of the review in column six of enclosure (2) and indicate if the review has found management control weaknesses in column seven. The format for reporting weaknesses is at enclosure (3).

d. The new or revised enclosure (1), the updated enclosure (2), and applicable enclosures (3) and any other pertinent information will be submitted with the Annual Certification Letters by 1 August of each year. Enclosure (4) is a sample Annual Certification Letter.

7. <u>Information Flow</u>. All management control correspondence and weakness reporting will flow as follows:

a. MSCOs shall report to ACs.

b. ACs shall report to N00I.

c. Headquarters Field Offices (i.e., NFAF East and West, N7 East and West, N2 East and West, N4 East and West, N6 East and West, and N8 East and West) and APMC shall report to MSC HQ's reporting senior (e.g., PMs, FDs, SAs).

d. MSC HQ's PMs, FDs and SAs shall report to N00I.

    e. Commander, Military Sealift Command (COMSC) reports to Chief of Naval Operations (CNO).

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G. S. HOLDER

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Distribution:
COMSCINST 5215.5
List I (Case A, B, C)
SNDL   41B   (MSC Area Commanders)
          41C   (NFAF East/West)
          41D   (MSC Offices)
          41E   (APMC)
          41L   (COMPSRONs)
          41M   (MSC TAGOS Project Office & Det)
CERO East
CERO West
CERO FE
CERO EUR

MANAGEMENT CONTROL EVALUATION FORM

ORGANIZATION:	MANAGER:
ASSESSABLE UNIT:	
DESCRIPTION:	
GUIDANCE:	
OPERATIONAL PROCEDURES:	
MONITORING/REPORTING DATA:	
RESOURCE SAFEGUARDS:	

WORKING ENVIRONMENT GOALS AND RESPONSIBILITIES

1. MANAGEMENT CONTROL PROGRAM	CHOICE	2. WRITTEN OPERATING PROCEDURES	CHOICE
MAJOR EMPHASIS	☐	NON-DISCRETIONARY	☐
MINOR EMPHASIS	☐	SOME DISCRETION	☐
NO EMPHASIS	☐	UNWRITTEN	☐
3. MANAGEMENT OBJECTIVES		4. MONITORING	
FORMAL	☐	CONTINUOUS	☐
INFORMAL	☐	PERIODIC	☐
UNCLEAR	☐	OCCASIONAL	☐
5. CHECKS AND BALANCES		6. PERSONNEL RESOURCES	
ADEQUATE SEPARATION	☐	QUALIFIED AND ADEQUATE	☐
DUTIES NOT SEPARATED	☐	INSUFFICENT OR UNQUALIFIED	☐
NOT APPLICABLE	☐	NOT APPLICABLE	☐

RISKS TO SUCCESSFUL ACCOMPLISHMENT

7. RESPONSIBILITY LEVEL		8. AUTHORITY	
NAVY ONLY	☐	WRITTEN DELEGATION	☐
JOINT (DOD)	☐	NEEDS UPDATE	☐
OTHER	☐	AMBIGUOUS	☐
9. STABILITY		10.OUTSIDE IMPACT OR SENSITIVITY	
STABLE	☐	NOT APPLICABLE	☐
DYNAMIC	☐	OUTSIDE NAVY	☐
NEW OR BEING DISESTABLISHED	☐	OUTSIDE DEFENSE DEPARTMENT	☐
11.INTER-OFFICE COMMUNICATION		12.FINANCIAL DOCUMENTS	
LIMITED TO ONE OFFICE	☐	NOT APPLICABLE	☐
BETWEEN TWO OFFICES	☐	CONVERTIBLE TO SERVICES ONLY	☐
MORE THAN TWO OFFICES	☐	CONVERTIBLE TO CASH	☐
13.RECENT PERIODIC EVALUATION		14.MATERIAL WEAKNESS(ES)	
MC EVALUATION FORM	☐	NONE IN CURRENT FISCAL YEAR	☐
WITHIN CURRENT FISCAL YEAR	☐	DURING CURRENT FISCAL YEAR	☐
MORE THAN A YEAR	☐	PRIOR YEAR WEAKNESS	☐
15.DATA/REPORTS		16.TIMELINESS	
RELIABLE	☐	NOT CRITICAL	☐
INCOMPLETE OR LATE	☐	OCCASIONALLY A FACTOR	☐
UNRELIABLE	☐	CRITICAL	☐

EFFECTIVENESS OF MANAGEMENT CONTROLS

17.MANAGEMENT CONTROL CHECK	
GUIDANCE IS IMPLEMENTED AND FUNCTIONING	YES ☐ NO ☐
OPERATIONALPROCEDURES ARE IMPLEMENTED AND FUNCTIONING	YES ☐ NO ☐
REPORTING DATA IS RELIABLE AND ACCURATE.	YES ☐ NO ☐
RESOURCES ARE SAFEGUARDED	YES ☐ NO ☐

18.TESTING OF CONTROLS		19.MC PERFORMANCE	
TESTED, FOUND ADEQUATE	☐	CRITICALLY EVALUATED	☐
TESTED, FOUND INADEQUATE	☐	NOT SPECIFIC/ASSUMED	☐
NOT TESTED	☐	NOT EVALUATED	☐

STATEMENT ON TESTING OF CONTROLS:	
DESCRIPTION OF WEAKNESS(ES) IDENTIFIED, IF ANY:	
WERE YOU PROVIDED MC TRAINING?:	YES ☐ NO ☐
EVALUATION CONDUCTED BY:	DATE:
EVALUATION APPROVED BY:	DATE:

OPNAV 5200/7 (MAR 1998)

Enclosure (1)

COMSCNOTE 5200
8 January 2001
MANAGEMENT CONTROL EVALUATION FORM INSTRUCTIONS

Fill-in the blocks where narrative data is required. Mark the box that closely approximates your assessment of blocks 1 through 19. Indicate N/A where not applicable.

1. **ORGANIZATION:** Enter the title of your specific unit (e.g., Command Activity or Component)

2. **MANAGER:** Enter the organizational code of the responsible manager.

3. **ASSESSABLE UNIT:** Enter a specific organizational, functional or programmatic responsibility.

4. **DESCRIPTION:** A sentence describing responsibilities. The standard organization and regulations manual can be helpful.

5. **GUIDANCE:** List any legal and administrative controls (Directives or Instructions) that directly pertain to the Assessable Unit.

6. **OPERATIONAL PROCEDURES.** List any manuals or standard operating procedures that describe the operations of the Assessable Unit.

7. **MONITORING/REPORTING DATA.** Explain how the Assessable Unit is monitored. Also list the types of required reports and how their accuracy and reliability are measured.

8. **RESOURCE SAFEGUARDS.** List the protective measures for all resources for which the manager is directly responsible.

WORKING ENVIRONMENT GOALS & RESPONSIBILITIES

Blocks 1-6 cover the organizational, procedural, operational and resource factors that could impact management control effectiveness.

BLOCK (1). **MANAGEMENT CONTROL.** Select one:

> **MAJOR EMPHASIS.** You are held accountable for performance of your management controls.
> **MODERATE EMPHASIS.** You are aware of the MC Program and support its goals.
> **NO EMPHASIS.** Do not consider management controls.

BLOCK (2). **WRITTEN OPERATING PROCEDURES.** Select one:

> **NON-DISCRETIONARY.** Follow standard operating procedures.
> **SOME DISCRETION.** Responsibilities are delegated in writing.
> **UNWRITTEN.** There are no written procedures.

BLOCK (3). **MANAGEMENT OBJECTIVES.** Select one:

> **FORMAL.** Written and reviewed.
> **INFORMAL.** Unwritten but known and expected.
> **UNCLEAR.** Unwritten or not communicated.

BLOCK (4). **MONITORING.** Select one:

> **CONTINUOUS.** Daily or weekly.
> **PERIODIC.** monthly or more.
> **OCCASIONAL.** No fixed period.

BLOCK (5). **CHECKS AND BALANCES.** Select one:

> **ADEQUATE SEPARATION.** Separation of duties is adequate within personnel and monetary constraints.
> **INADEQUATE SEPARATION.** The same person controls entire cycle.
> **NOT APPLICABLE.** One person office.

BLOCK (6). **PERSONNEL RESOURCES.** Select one:

> **QUALIFIED AND ADEQUATE.** Based upon your subjective criteria.
> **SUFFICIENT OR UNQUALIFIED.** Based upon your subjective criteria.
> **NOT APPLICABLE:** One person office.

RISKS TO SUCCESSFUL ACCOMPLISHMENT.

BLOCK (7). **RESPONSIBILITY LEVEL:** Select one:

> **NAVY ONLY.** Self explanatory.
> **JOINT (DOD).** Self explanatory.
> **OTHER.** Government-wide.

BLOCK (8). **AUTHORITY.** Select one:

> **WRITTEN DELEGATION.** States the scope of authority and is current.
> **NEEDS UPDATE.** Is not current.
> **AMBIGUOUS.** Scope of authority is not clear.

BLOCK (9). **STABILITY.** Select one:

> **STABLE.** Mission and objectives are relatively static.
> **DYNAMIC.** Mission and objectives are varied and changing.
> **NEW OR BEING DISESTABLISHED.** Risks are unknown or not measurable.

BLOCK (10). **OUTSIDE IMPACT OR SENSITIVITY.** Select one:

> **NOT APPLICABLE.** Little negative outside impact.
> **OUTSIDE NAVY.** There is significant negative impact within DOD.
> **HIGH LEVEL.** There is significant negative impact outside DOD.

BLOCK (11). **INTER-OFFICE COORDINATION.** Select one:

> **LIMITED TO ONE OFFICE.** No coordination necessary.
> **TWO OFFICES.** Self explanatory.
> **MORE THAN TWO.** Complex coordination.

BLOCK (12). **FINANCIAL DOCUMENTS.** Select One:

> **NOT APPLICABLE.** Not directly involved in financial matters.
> **CONVERTIBLE TO SERVICES ONLY.** Not directly involved in cash transactions.
> **CONVERTIBLE TO CASH.** Self-explanatory.

BLOCK (13). **RECENT PERIODIC EVALUATION.** Select one:

> **MC EVALUATION FORM.** This form will establish the initial basis for providing reasonable assurance.
> **WITHIN CURRENT FISCAL YEAR.** Documentation of evaluation whether by audit, inspection, command evaluation, management study or review, etc., must be readily available.
> **MORE THAN A YEAR.** A new evaluation is warranted.

BLOCK (14). **MATERIAL WEAKNESS(ES).** May select more than one:

> **NONE IN CURRENT FISCAL YEAR.** None detected locally or by outside organizations.
> **DURING CURRENT FISCAL YEAR.** Acknowledged in this fiscal year and activity head knows about it.
> **PRIOR WEAKNESS(ES) ?.** Occurred in a year prior to current one. Follow-up documentation must be readily available.

BLOCK (15). **DATA/REPORTS.** Select one:

> **RELIABLE.** Provide a good gauge of success.
> **INCOMPLETE OR LATE.** Reasonable assurance may be uncertain.
> **UNRELIABLE.** self-explanatory.

BLOCK (16). **TIMELINESS.** Select one:

> **NOT CRITICAL.** Not crucial to success.
> **OCCASIONALLY A FACTOR.** e.g., REPORTS.
> **CRITICAL.** Crucial to success.

EFFECTIVENESS OF MANAGEMENT CONTROLS

Blocks 17-19 attest to the adequacy of Management Control.

BLOCK (17). **MANAGEMENT CONTROL CHECK.** No answers indicate possible material weaknesses in the management control environment. Explain no answers on a separate sheet of paper.

> **GUIDANCE IS IMPLEMENTED AND FUNCTIONING.**
> **OPERATIONAL PROCEDURES ARE IMPLEMENTED AND FUNCTIONING.**
> **DATA IS RELIABLE AND ACCURATE.**
> **RESOURCES ARE SAFEGUARDED.**

All information (management reports, audits, inspections, this evaluation form, etc.) and sources are used to attest to the effectiveness of management controls.

BLOCK (18). **ADEQUACY OF CONTROLS.** Select one:

> **TESTED, FOUND ADEQUATE.** Controls are working.
> **TESTED, FOUND INADEQUATE.** Strengthen or improve the management controls.
> **NOT TESTED.** Provides no reasonable assurance that a material weakness does not exist.

BLOCK (19). **MC PERFORMANCE.** Select one:

> **CRITICALLY EVALUATED.** Management Control responsibilities are noted in fitness report or performance appraisal.
> **NOT SPECIFIC/ASSUMED.** Management Control responsibilities are not noted in fitness report or performance appraisal.
> **NOT EVALUATED.** NOTE: Appraisal of MC performance is mandatory.

STATEMENT ON RESULTS OF TESTING CONTROLS, (E.G., ADEQUATE, WEAK, NONEXISTENT, EXCESSIVE). You will need to do this on a separate piece of paper. State the types of testing done.. Also state that the controls are weak, excessive or non-existent if not proven to be adequate.

DESCRIPTION OF WEAKNESSES IDENTIFIED, CORRECTIVE ACTION & ESTIMATED COMPLETION DATE: You will need to do this on a separate piece of paper. State weakness, how identified and follow-up process used in correction and verification.

WERE YOU PROVIDED MC TRAINING?

MCR CONDUCTED BY: AND DATE. This should be you, the manager responsible for the assessable unit.

MCR RESULTS APPROVED BY AND DATE. This should be the person to whom you report.

ANNUAL MANAGEMENT CONTROL PLAN

N00P

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Support Services					
Public Affairs Services	N00P				

N00R

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Force Readiness					
Technical Management of Reserve Training Policy	N00R3		X		
Communications, Intel &/or Security					
Classified Material Control	N00R4				
Reserve Personnel Security Clearance Management	N00R4				
Message Processing	N00R4				
Personnel &/or Organization Mgmt					
Develop/Manage MSC Reserve Program Policy	N00R1				
Develop/Manage NCS Reserve Program Policy	N00R2				
Reserve Manpower Management	N00R1				

N00R (Cont'd)

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Comptroller &/or Resource Management					
Reserve Budget Development/Management	N00R				
Monitor/Balance Active Reserve Travel Budget	N00R4A				
Support Services					
Manage Travel Orders/Claims Process	N00R4A				
Process Reserve Personnel Orders (AT/ADT/DTT)	N00R4				
Correspondence File Management	N00R4				

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Ship Maintenance & Repair					
Engineer Support	PM12E1/PM11E				
Quality Support					
Alteration & Design	PM12E1/PM11E				
Overruns	PM12E1/PM11E				
Change Orders	PM12E1/PM11E				
Ship Repair Management	PM12E1/PM11E				
CIVMAR Operated Vessels					
Advance Planning	PM12E1/PM11E				
Government Estimates	PM12E1/PM11E				
Cost Reimbursable Work	PM12E1/PM11E				
Negotiation/Evaluation	PM12E1/PM11E				
Negotiation of Growth	PM12E1/PM11E				
Supply Operation					
Excess Material	PM1L				
OX COG Mgmt (Shore Based Spares For Ships)	PM1L				
Property Management					
Property Accounting					
Afloat	PM1L				
Ashore	PM1L		X		
Property Disposal					
Afloat	PM1L				
Ashore	PM1L		X		

PM1 (Cont'd)

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Personnel/Organizational Management					
Management Control Program	PM1F				
Operation of NFAF Ships	PM13D/PM12D				
Performance Evaluations - Civilian	PM1F				
Training - Civilian	PM1F				
Overtime Administration	PM1F				
Comptroller/Resource Management					
Budget Preparation	PM1F				
Budget Execution	PM1F		X		
Overtime Administration - Ashore	PM1F				
Timekeeping - Ashore	PM1F				
Budget Preparation - NFAF	PM1L				
NFAF EAST					
PROPERTY ACCOUNTING					
AFLOAT	PM1-EBF				
ASHORE	PM1-EBF/ PM1-EA		X		
PROPERTY DISPOSAL					
AFLOAT	PM1-EBF				
ASHORE	PM1-EBF/ PM1-EA		X		
MANAGE CONTROL PROGRAM	PM1-EX				
OPERATION OF NFAF SHIPS	PM1-EX				
CIVMAR OPERATED SHIPS - COST PERF	PM1-EE				
CIVMAR OPERATED SHIPS - ADV PLANNING	PM1-EE				

PM1 (Cont'd)

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
CIVMAR OPERATED SHIPS - GOV'T ESTIMATE	PM1-EE				
CIVMAR OPERATED SHIPS - NEGO EVAL	PM1-EE				
SHIP SCHEDULING	PM1-EX				
PERFORMANCE EVAL - CIVILIAN	PM1-EEE/ PM1-EA				
TRAINING - CIVILIAN	PM1-EBF/ PM1-EA				
OVERTIME ADMINISTRATION	PM1-EBF/ PM1-EA				
BUDGET PREPARATION	PM1-EBF/ PM1-EA				
BUDGET EXECUTION	PM1-EBF				
OVERTIME ADMINISTRATION - ASHORE	PM1-EBF/ PM1-EA				
TIMEKEEPING - ASHORE	PM1-EBF/ PM1-EA				
EXCESS MATERIAL	PM1-EL				
QUALITY SUPPORT - ALTERATION & DESIGN	PM1-EE				
SHIP MAINTAINENCE & REPAIR	PM1-EE				
QUALITY SUPPORT - CHANGE ORDERS	PM1-EE				
QUALITY SUPPORT - OVERRUN	PM1-EE				
NFAF WEST					
PERSONNEL ORGANIZATIONAL MANAGEMENT OPERATION OF NFAF SHIPS	N3/PM1WO				

PM1 (Cont'd)

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
PERSONNEL ORGANIZATIONAL MANAGEMENT SHIP SCHEDULING	N3/PM1WO				
BUDGET PREPARATION	PM1WF				
BUDGET EXECUTION	PM1WF				
ENGINEERING SUPPORT	PM1WE				
QUALITY ASSURANCE	PM1WE				
SHIP REPAIR MANAGEMENT	PM1WE				
EXCESS MATERIAL	PM1WL				
RESIDUAL ASSET MANAGEMENT	PM1WL		X		

PM2

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Procurement					
Ship Operating Contracts & Chartering	PM2				
Ship Repair Contracts - CIVMAR Ships	PM2				
Contract Administration					
Ship Operating Contracts & Chartering	PM2				
Ship Repair Contracts - CIVMAR Ships	PM2				
Force Readiness					
PM21	PM2				
PM22	PM2				

PM2 (Cont'd)

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Maintenance & Repair					
PM21	PM2				
PM22	PM2				
Supply Operations					
Policy & Planning	PM2				
Shipboard Logistics Readiness Evaluation	PM2				
Shore Support Management	PM2		X		
Spare Parts	PM2		X		
Personnel/Organization Management					
Management Control Program	PM2		X		
Performance Evaluations	PM2				
Personnel Administration - Ashore	PM2				
Comptroller/Resource Management					
Budget Preparation	PM2		X		
Budget Execution	PM2				
Reimbursable Funding	PM2				

PM3					
ASSESSABLE UNIT	**AU MANAGER**	**AU MANAGER INITIALS**	**FY01 ALT EVAL OR MCR**	**AMCR/MCR COMPLETED (MM/DD/YY**	**WEAKNESS (Y-?#) / (N)**
Procurement					
Government Purchase Card	PM318P/N1032C				
Contract Administration					
Contract Award	PM3P/N1032				
Contract Administration	PM3P/N1032				
Force Readiness					
Fuel Consumption/OPTEMPO	PM315D				
Port Usage	PM3F1		X		
Maintenance and Repair					
Ship Maintenance & Repair	PM3E				
Comptroller &/or Resource Mgmt					
Invoice Certification	PM3OA				

PM4

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIAL	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Certification of Invoices	PM4P				
Contract Monitoring	PM4P		X		
Cost Monitoring	PM4P				
Contract Closeout	PM4P				
Government Purchase Card	PM421A				
Timekeeping	PM4F				
Travel Claims	PM4F				
Expense Accruals	PM4F				
Nations Bank Credit Card	PM4F				

PM5

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Procurement					
Tanker Speed/Fuel Consumption	PM51E				
Comptroller &/or Resource Mgmt					
Expense Accruals	PM5F				
Contract Administration					
Tanker Maintenance & Repair	PM51E		X		
Tanker Shore Based Parts	PM51E				
Industrial Assistance	PM531E/PM533E				
Shipyard Change Orders	PM531E/PM533E				

N1

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
CIVMAR Policy Oversight	N1				
Alcohol & Drug Testing Policies	N12				
Medical Records Policy (CIV/Mil)	N14				
Preventive Medicine Policy	N14				

N3/N5

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Force Protection Standards	N34				
Travel	N3/5X				
Training	N3/5X				
Assess/Analyze Requirements Studies	N5J				
Comptroller &/or Resource Management					
Funds Administration (MSC Accts)	N3/5X				
Time & Attendance Cards	N3/5X				

N4

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Mini-Market Operations	N43			8/1/99	N
HQs Property Control System	N422			8/1/99	N

N6

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Communications, Intelligence &/or Security					
Communications	N65H3				
Information Technology					
ADP Security	N64d			03/00, Alt Rev by SPAWAR C&A	Yes, working in-house
OPS & C4S Environment	N61				
Business Systems	N61				
Shipboard Systems	N62				
Technical Integration	N63				
HQ Site Management	N65H				
N6 East Management	N65E				
N6 West Management	N65W				

N7					
ASSESSABLE UNIT	**AU MANAGER**	**AU MANAGER INITIALS**	**FY01 ALT EVAL OR MCR**	**AMCR/MCR COMPLETED (MM/DD/YY**	**WEAKNESS (Y-?#) / (N)**
Fuel Inventory	N71				
Budget Control	N7A				
Procurement/Contract Admin					
Contract Ordering and Management	N71		X		
In-service Engineering Support	N72				
Maintenance Management Systems (SAMM, EASY)	N71				
Shipboard Material Assessment	N71				
Technical Library	N71				
Personnel/Organization Management					
N7	N7X				
Safety					
Afloat Safety Inspections (Assist Visits)	N732			Annual Visit	
Shore Safety Inspection	N732		X		
Automated Mishap Recordkeeping	N732				
Develop/Maint. of Occupational Safety Prog	N732				
Develop/Maint. of Occupational Health Prog.	N732				
Liaison (Other Agencies & Departments)	N732				
Coordination/Participation in Contract Admin.	N732				

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Accounts Payable					
Com'l Vendors	N8x LANT				
	N82 PAC				
Invoice Processing & Certification	N86 HQs				
Timekeeping-Shore Staff	N82 HQs				
	N8x LANT				
	N82 PAC				
Budget Preparation	N81 HQs				
	N8x LANT				
	N82 PAC				
Budget Execution	N81 HQs				
	N8x LANT				
	N82 PAC				
Fund Controls	N81 HQs				
	N8x LANT				
Inventory	N82 HQs				
	N82 LANT				
	N82 PAC				
Unit Level Billing	N82 HQs				
Revenue Lift	N82 HQs				

N8 (Cont'd)

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Disbursing					
Ashore	N8x LANT		X		
	N84 PAC				
Afloat	N8x LANT				
	N84 PAC				
Travel Advance Administration	N84 PAC				
Travel Claims Process - Ashore	N8x LANT		X		
	N84 PAC				
Property Accountability	N82 HQs		X		
	N8x LANT		X		
	N82 PAC		X		

N9

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Support Services					
Congressional Queries	N9				
Comptroller and/or Resource Mgmt					
Funds Administration	N9				
Time & Attendance	N9				
Small Business Contracting	N9		X		

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Contracts					
Preaward					
N102	N102		X	11-17-01	
N10 East	N10E		10-01		
N10 West	N10W			04-20-00	
PM2	PM2		01-02		
PM3	PM3P		01-08-00		
PM4	PM4P		04-01		
PM5	PM52P		02-01		
Postaward					
N102	N102		X	11-17-00	
N10 East	N10E		10-01		
N10 West	N10W			04-20-00	
PM2	PM2		01-02		
PM3	PM3P		01-18-00		
PM4	PM4P		04-01		
PM5	PM5P		02-01		
Close Out					
N102	N102				
N10 East	N10E		10-01		
N10 West	N10W			04-20-00	
PM2	PM2		01-02		
PM3	PM3P		01-08-00		
PM4	PM4P		04-01		
PM5	PM5P		02-01		

N10 (Cont'd)

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Simplified Acquisitions Procedures					
Preaward N102	N102		X	11-17-00	
Preaward/Postaward/Closeout	N102				
Purchase Card					
Reconciliations (Card Holder &	N102		X		
Approving Official)	N101		X		
N10 East	N10E		10-01		
N10 West	N10W			04-20-00	
	PM318P		01-08-00		
Overhead Funds Administration					
(e.g., timekeeping, OT, CT, travel and	N101				
Awards)	N102				
	N10E				
	N10W				
Note: Procurement Performance Management Assessment Program (PPMAP) will be used as Alt Eval	Note: References to other codes indicate N10 coordination with the code.				

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Communications, Intelligence &/or Security					
Information Security	APMC-OS				
Personnel Security	APMC-OS				
Physical Security	APMC-OS				
Support Services					
Administrative Services	APMC-OW				
CIVMAR Recruitment	APMC-1				
CIVMAR Discipline & Employee Relations	APMC-1				
CIVMAR Union Relations	APMC-1				
CIVMAR Employee Benefits	APMC-1				
CIVMAR Injury Compensation	APMC-1		X	Alt Review: Command Evaluation	
Training - Proficiency & Certification	APMC-1				
Training - Processing 1556's	APMC-1				
CIVMAR Drug Testing	APMC-1				
DCPDS Data Maintenance & Reports	APMC-1				
DCPDS Personnel Action Processing	APMC-1				
CIVMAR Preemployment Processing & Follow-up	APMC-1				
CIVMAR Evaluation & Selection	APMC-1				
EEO Program	APMC-OE				
Civilian Employee Assistance Program	APMC-OE		X		
Wages & Manning	APMC-1				
Procedures	APMC-OS/A				

APMC (Cont'd)

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Comptroller &/or Resource Management					
Financial Services Dept					
Disbursing	APMC-8				
CIVMAR Payroll	APMC-8				
Budget Preparation	APMC-8				
Budget Execution	APMC-8				

COMSCCENT

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL or MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Operations					
- Special Mission Ships	N3				
- Dry Cargo Operations	N3				
- Fuel Cargo Operations	N3				
- Exercise Planning	N3				
- Force Protection	N3				
- Reserve Program Management	N3				
- Ship Scheduling	N3				
Ship Maintenance and Repair					
- Technical Oversight	N7				
- Financial Oversight	N7				

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL or MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Supply Operations					
- Plant Minor Property	N4				
- Asset Accountability and Control	N4				
- Office Supplies and Consumables	N4				
- Inter-Service Support Agreement	N4				
- Motor Vehicles	N4				
- Funds Administration & Budgeting	N 4				
- Government Purchase Card	N4				
Communications/Info Tech					
- Telephone	N6				
- Classified Material	N6				
- Security Programs	N6				
- Computer Security	N6				
- Software Maintenance	N6				
- Program Service	N6				
- Contingency Backup	N6				
- Network Administration	N6				
Administration and Support Services					
- Travel Management	N1				
- Mail and Postal Services	N1				
- Payroll Timekeeping	N1				
- Correspondence	N1				
- Records Management	N1				
- Recurring Reports	N1/N3/N01				

COMSCCENT (Cont'd)

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL or MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
- Key and Accompanied Billet Management	N01				
- Civilian Hiring	N01				
- Training	N1/N3				
- Military Appraisals	N01				
- Civilian Appraisals	N3/N1				
- Incentive Awards	N3/N01				
- Public Affairs	N1/N3				

COMSCEUR

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Procurement					
IMPAC	N4/10			MCR 2/15/00	N
Contract Admin					
Contract Administration	N4/10			11/01/00	N
Ship Maintenance & Repair					
Ship Repair Management	N7			QRA Rev (03/22/00)	
Property Management					
Plant Minor Property/Asset Accountability & Control	N4/10			QRA Rev (03/14/00)	N

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL or MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Communications/Intelligence					
Command & Control Comm					
Classified Material	N6			QRA Rev (03/27/00)	
Info Tech					
Computer Security	N6			QRA Rev (03/27/00)	N
Network Administration	N6			Monitored Daily NCTAN	N
Personnel/Organization Management					
Position Classification	N1			QRA Rev (02/00)	
Civilian Appraisals	N1			QRA Rev (08/02/00)	N
Incentives Awards	N1			QRA Rev (03/22/00)	
Training	N1			QRA Rev (08/02/00)	
Comptroller/Resource Management					
Overhead Budget Execution	N8			MCR (03/16/00)	N
Voucher Certification	N8			Pending HQ Inst	N
Inter-Service Support Agreement	N8			Pending ISA Rev	N
Timekeeping - Ashore	N8			QRA Rev (02/15/00)	N
Support Services					
Travel Management	N1			QRA Rev (12/15/98)	N
Mail & Postal Services	N1			FPO Insp (11/21/99)	N
Administrative Services	N00A		X	(11/01/00)	N

COMSCFE

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Procurement					
Gov't-wide Commercial Purchase Card	N10			07/30/00	N
Large Contracts	N10				
Imprest Fund	N42			07/25/00	N
Ship Maintenance & Repair					
Engineer Support	N7				
Quality Assurance/ Work Compensation	N7X		X		
Ship Repair Management	N7X				
Operated Vessels					
Advance Planning	N7X				
Gov't Est & Spec Prep	N7X				
Cost Reimburse Work at NSRFS	N7X				
Negotiate/Evaluate Prior to Award	N7X				
Negotiation of Growth & New Work	N7X				
Supply Operations					
Excess Material	N43			07/25/00	N
Stock Control	N42				
Inventories	N43				
Property Management					
Minor Property	N42			07/25/00	
Property Accounting	N82				
MLSR Program	N6				
Property Disposal	N43				

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Communication/Intelligence					
Cmd & Control Communications	N6				
Telephone	N6				
Security	N6				
Information Security	N6				
Access Control - Ship Boarding	N6				
Information Tech					
Network Administration	N6				
Personnel/Organizational Management					
Reserves/Utilization	N332				
Civilian Drug Free Workplace Program	N12				
Position Management Program	N1X				
Training	N00T				
Comptroller/Resource Management					
Budget	N81				
Disbursing	N84			07/17/00	N
Travel Financial Program	N81			07/26/00	N
Timekeeping	N81				
Accounting NWCF	N82				
Unit Level Billing	N83				
Accounts Payable - NWCF	N83				
Cargo System (CARS)	N83				

COMSCFE (Cont'd)

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Support Services					
U.S. Mail & Postal Services	N11A				
Japanese Mail & Postal Services	N1X			MCR 8/98	N
Public Affairs	N00P				
Management Control Program	N00T				
Legal Services	N2				
Information Access	N2				
Motor Pool	N1X				
Bunker Fuel Management	N3X		X		
Ship Operations					
Ship Scheduling	N3X				
Husbanding of USNS	N3X				
Tanker Division	N3X				
Others					
Safety Program	N7X				
Interservice Support Agreements	N42				
Ship Physical Security	N3X				
Hazardous Waste	N43			07/25/00	N

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Supply Operations					
Valid Supply Request	N01S2			06/30/00	
Property Management					
Minor Property - Other	PM1WL12		X		
MLSR Program	N01S2			06/30/00	
Property Disposal					
Other	N01S				
Communications, Intelligence &/or Security					
Classified Material - Control	N01S3			06/30/00	
Information Security	N01S3				
Personnel Security	N01S3				
Physical Security	N01S3		X		
MIL Personnel/Organization Management					
Reserves - Utilization	N00R				
Training - Military (Active & Reserve)	N00R				
CIV Personnel/Organization Management					
Personnel Actions	PM1WM				
Training	PM1WM			07/18/00	
Performance Management Program	PM1WM				

COMSCPAC (Cont'd)

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Support Services					
Administrative Services	N01S				
Management Control Program	N01D			07/11/00	
Courier Services	N013			07/03/00	
Mail & Postal Services	N01S			07/03/00	
Privacy Act	N2W				
Quality Assurance	N01A				
Records Management					
Instruction/Manual	N01S				
Publication	N01D				
Interservice Support Agreements	N01S				
Seattle					
Supply Operations					
Storage - Office Supplies	N00				
Government Purchase Card	N00				
Communications, Intelligence &/or Security					
Classified Material - Control	N00				
Information Security	N00				
Personnel Security	N00				
Physical Security	N00				

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Support Services					
Operations - Special Mission Ships	N00			06/30/00	
Fleet Aux Force Ships	N00				
Tankers	N00		X		
Dry Cargo Ships	N00				
Husbanding USNS Ships	N00				
Interservice Support Agreements	N00				
Personnel/ Organization Management					
Privacy Act	N00				
Ready Reserve Force	N00			06/30/00	
Naval Reserves - Utilization	N00				
Naval Reserves - Training	N00				
Pearl Harbor					
Supply Operations					
Storage/Warehousing - Office Supplies	N4			07/05/00	
Property Management					
Minor Property - Other	N4		X		
MLSR	N4				
Property Disposal - Other	N4				

COMSCPAC (Cont'd)

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Communications, Intelligence &/or Security					
Classified Material - Control	N3				
Information Security	N6				
Personnel Security	N3				
Physical Security	N3				
Support Services					
Administrative Services	N1				
Mail & Postal Services	N1				
Management Control Program	N00				
Husbanding USNS Ships	N3				
Records Management					
Instruction/Manual	N1				
Publication	N1				
Interservice Support Agreements	N00				
Personnel/ Organization Management					
Privacy Act	N1				
Anchorage					
Supply Operations					
Storage/Warehousing - Office Supplies	N3				
Government Purchase Card	N3				

COMSCPAC (Cont'd)

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Property Management					
Minor Property - Other	N3		X		
Property Disposal	N3				
Communications, Intelligence &/or Security					
Classified Material - Control	N3				
Information Security	N3				
Personnel Security	N3				
Physical Security	N3				
Personnel/ Organization Management					
Naval Reserves - Utilization	N3				
Naval Reserves - Training	N3				
Privacy Act	N3				
Support Services					
Operations - Special Mission Ships	N3			06/30/00	
Operation Ship					
Tanker Division	N3		X		
Control Dry Cargo	N3				
Husbanding of USNS	N3			Aug 99: Cmd Insp	
Interservice Support Agreements	N3				

COMSCLANT

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
LANT N1					
Fund Administration	N1				
Instructions Maintenance	N1			07/25/00	
Mail & Postal Services	N1				
Goods & Services (Ordering, Services & Receiving	N1				
Support Services					
Motorpool Operation	N1			07/25/00	
Motorpool - Gas Cards	N1				
Travel	N1				
Performance Appraisals - Civ & Mil	N1				
Timekeeping (Includes Overtime)	N1		X		
Travel Management	N1				
Incentive Awards	N1				
Plant Property Management	N1				
LANT N01A					
Command Evaluation Program	N01				
LANT N00R					
Travel	N00R				
Training (Military & Civilian)	N00R				
LANT N3					
Classified Material Handling	CSM				
Funds Administration	N3A			CI (04/00)	
Travel	N3A		X		

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Physical Security	CSM			CI 04/00	
Personnel Security	CSM				
Courier Services	CSM				
Ship-Operation of NFAF Ships	N3B			MCR 08/00	
Ship Scheduling / Control (Dry Cargo), FSS, RRF, Tanker	N3A			CI 04/00	
LANT NOOP					
Funds Administration	N00P				
Travel	N00P				
BEAUMONT					
Supply Operations					
Inventory Control	N0S			IPR 06/30/00	
Purchasing	N0S			IPR 06/30/00	
Property Management					
Controlled Equipage	N0S			MCR 07/06/00	
Communications, Intelligence &/or Security					
Classified Material - Control	N01			IPR 06/30/00	
Information Security	N01			IPR 06/30/00	
Personnel Security	N01			IPR 06/30/00	
Physical Security	N01			IPR 06/30/00	
Personnel/Organization Management	N01				
Reserves - Utilization	N36			IPR 06/30/00	
Training - Military/Civilian/Reserves	N36			IPR 06/30/00	
Evaluations/Appraisals/Counseling	N00			IPR 06/30/00	
Support Services					
Administrative Services	N1			IPR 06/30/00	
Courier Services	N1			IPR 06/30/00	
Mail, Courier and Postal Services	N1			IPR 06/30/00	

COMSCLANT (Cont'd)

ASSESSABLE UNIT	AU MANAGER	AU MANAGER INITIALS	FY01 ALT EVAL OR MCR	AMCR/MCR COMPLETED (MM/DD/YY	WEAKNESS (Y-?#) / (N)
Privacy Act	N1			IPR 06/30/00	
Records Management					
Instruction/Manual				MCR 07/06/00	
Publications				IPR 06/30/00	
Motorpool	N0S			MCR 07/06/00	
Time Keeping	N0S			IPR 06/30/00	
Fund Administration	N0S			MCR 07/06/00	
Port Canaveral					
PCAN N1/N01					
Classified Material Handling	N1			CE 06/27/00	
Instructions Maintenance	N1			CE 06/27/00	
Mail, Postal and Courier Services	N1			CE 06/27/00	
Performance Appraisals - Civilian	N1			CE 06/27/00	
Performance Appraisals - Military (EVALS/FITREPS)	N1			CE 06/27/00	
Personnel Security Clearances	N1			CE 06/27/00	
Physical Security	N1			CE 06/27/00	
Timekeeping	N1			CE 06/27/00	
Training - Military & Civilian	N1			CE 06/27/00	
PCAN N4					
Motorpool Operation	N4			CE 06/27/00	
PCAN N3					
Funds Administration	N3			CE 06/27/00	
Reserve Utilization	N3			CE 06/27/00	
Ship Scheduling/Control-Dry Cargo, Tanker, SMS	N3				

FORMAT FOR REPORTING MATERIAL WEAKNESSES FOR INFORMATION OR WHEN REQUESTED BY CNO

Title and Description of the Material Weakness: Use the title from the source document. Provide a brief narrative summary describing the material weakness and its scope; i.e. local, area wide, service wide, etc.

Functional Category: Choose one of the 15 DOD categories.

Pace of Corrective Action: The five items below identify the pace of corrective action. All dates are to be reported by fiscal year (FY).

Year Identified: Identify the FY the material weakness was first reported in the organization/component's annual statement of assurance.

Original Targeted Correction Date: Provide the original target correction date contained in the initial report of this material weakness.

Targeted Correction Date in Last Year's Report: Provide the target correction date that was reported in the previous year's annual statement of assurance. Enter N/A for current year material weaknesses.

Current Target Date: Indicate the current target   correction date.

Reason for Change in Date(s): If targeted correction date and current target date are different, explain the reason for the change. Enter N/A, if unchanged.

Component/Appropriation/Account Number: Identify the appropriation(s) and account number(s) related to the described material weakness using the standard DOD designation, e.g., FY 1999 Operation and Maintenance, Navy (O&MN), 1771804.

Validation Process: Briefly explain how the effectiveness of the corrective action(s) will be demonstrated.

Results Indicators: Provide a short description of how the corrective actions improve the function, process or procedure. Monetary benefits (if any) should be reported here.

Source(s) Identifying Weakness: Provide the source(s) used to identify the material weakness, e.g., audit. When using a source other than a management review, cite the report number, title and date. List all sources individually.

Major Milestones in Corrective Action: A milestone chart is to be provided which indicates actions taken and actions planned. It should be separated into three categories:

Completed Milestones:

Milestone:

Planned Milestones (Next FY)

Date: **Milestone:**

Planned Milestones (Beyond Next FY)

Date: **Milestone:**

Verification: (Completion date and verification actions)

Point of Contact: Provide name and telephone number (voice and fax) and e-mail address, if applicable.

ANNUAL ASSURANCE CERTIFICATION FORMAT

From: Head of Organization (i.e., Program Manager, Functional Director, Special Assistant)

To: Next higher level in the chain of command or to MSC N00I (as directed in paragraph 6 of the basic notice)

Subj: MANAGEMENT CONTROL CERTIFICATION LETTER

Ref: (a) SECNAVINST 5200.35D
       (b) COMSCNOTE 5200 of

Encl: (1) Report of Current Year and Open Prior Year Material Weaknesses

1. The (title of organization) has evaluated the system of internal administrative and accounting controls in effect during the Fiscal Year ending 30 September ____. The evaluation was performed under policy contained in references (a) and (b). Information to support the statement was derived from the Management Control Program reviews, audits, inspections, investigations and other management information. Management Control Program accomplishments and the status of identified material weaknesses are detailed in enclosure (_).

2. (Choose one of the following: I have reasonable assurance that management controls are in place and operating effectively; I have reasonable assurance that management controls are in place and operating effectively except for the material weaknesses provided in enclosure(s) (_); or, I do not have reasonable assurance that management controls are in place and operating effectively), and the objectives of the Federal Managers' Financial Integrity Act were/were not achieved.

3. The (title of organization) is actively engaged in ensuring management control and financial integrity are maintained at the highest possible levels. Enclosure (__) is the updated Annual Plan with the Assessable Unit Managers identified by code and the Assessable Unit Managers' initials in column three, indicating a review of the FY00 Management Control Evaluation (OPNAV 5200/7) My point of contact in this matter is _____ who can be reached at _____.

                                                    (Signed)
                                                    Organization Head or Deputy

                                                                        Enclosure (4)